

FIG. 1

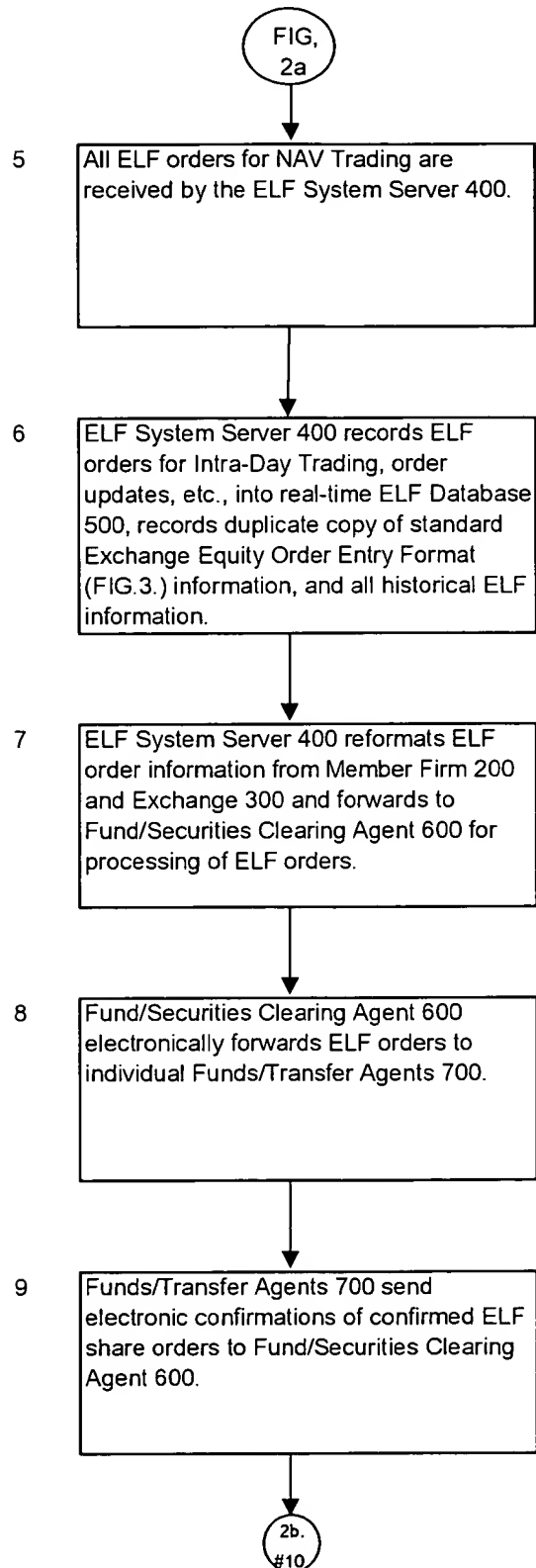
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NAV Trading and Intra-Day Trading



FIG. 2b

NAV Trading



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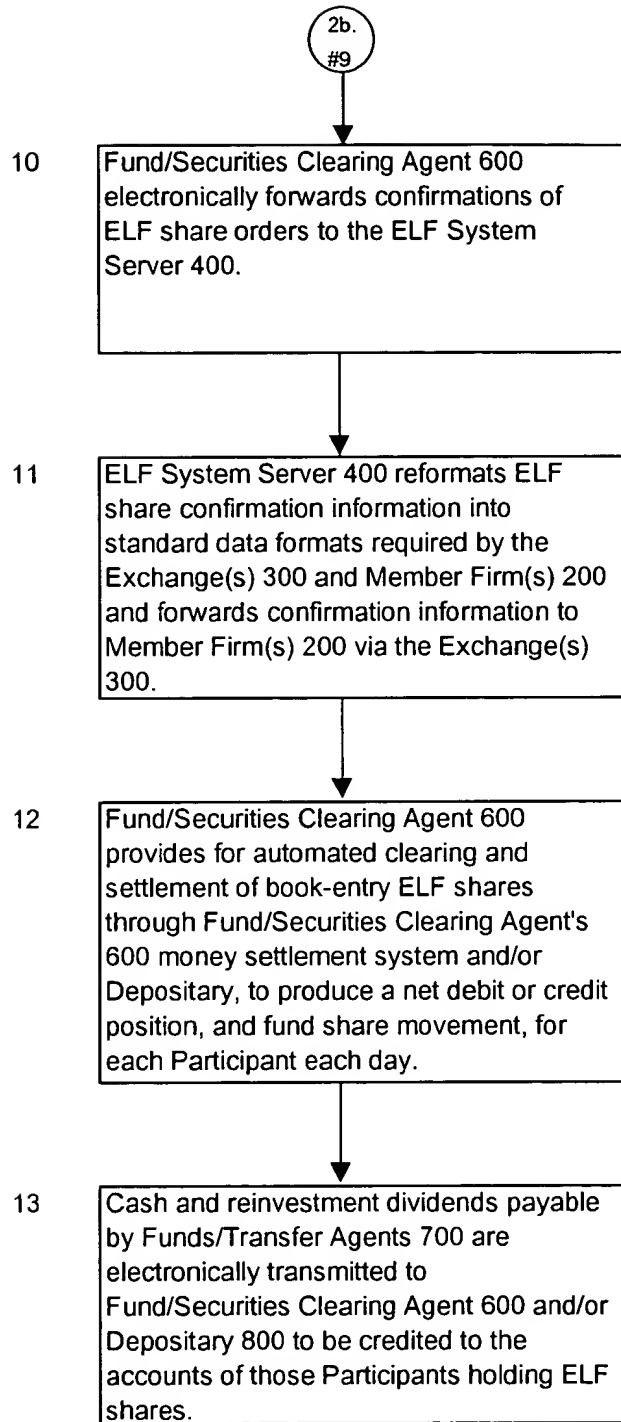
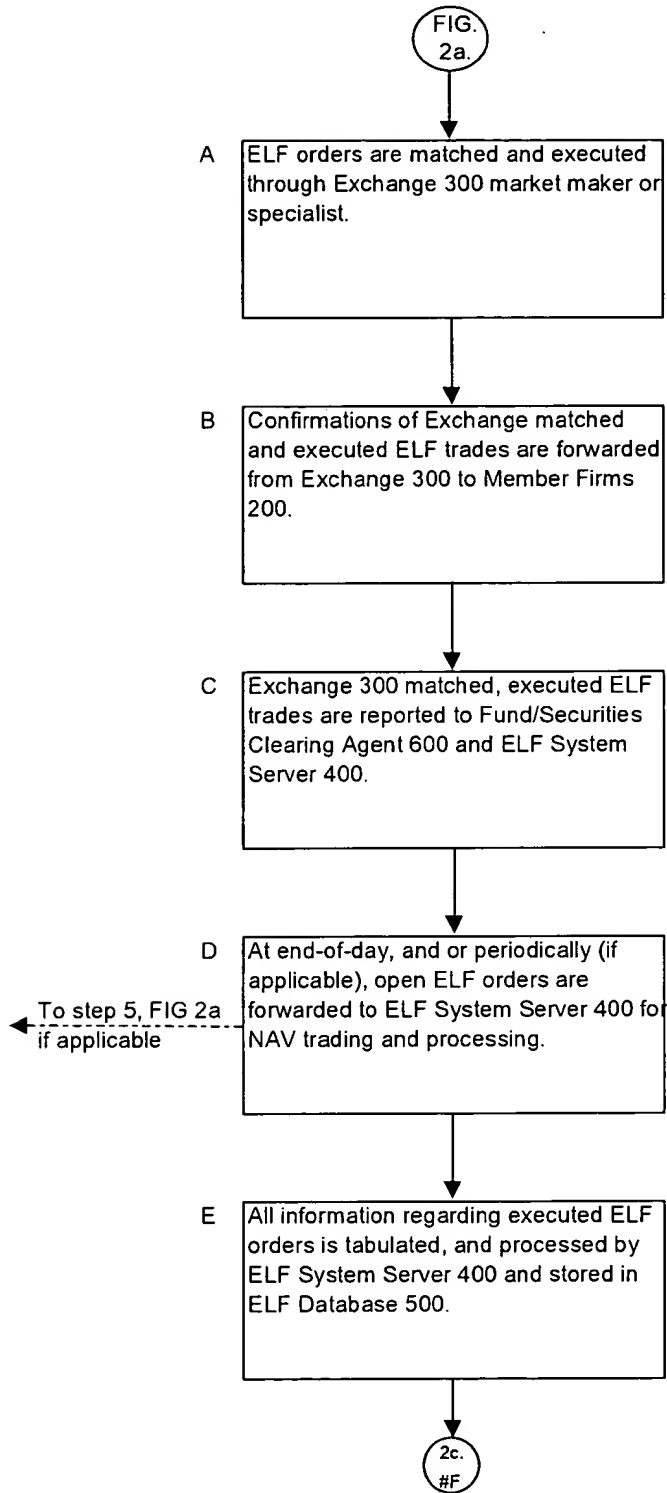


FIG. 2b

FIG. 2c

Intra-Day Trading



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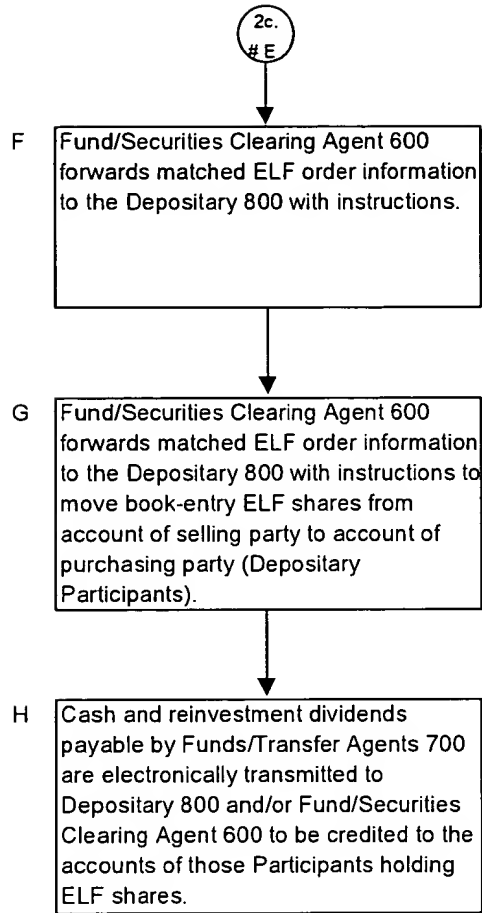


FIG. 2c

FIG. 3

Equity Order Entry Format

LINE # / MAX. CHARACTERS	ENTRY															
0 / 32	SHARED INTERFACE FIRM IDENTIFIER															
1 / 32	BRANCH CODE					SEQUENCE NUMBER										
1A / 32	EXCHANGE			ROUTING CODE			COMP SPEC			BOOTH ID						
2 / 32	POSS DUPLICATE			CANCEL			BUY		SL		SSHRT					
							BUY MINUS		SL PLUS		SSHRT EXEMPT					
3 / 74	QUANTITY			STOCK SYM				SUFFIX			PRICE					
3A / 32	ALL OR NONE		TIME-IN-FORCE		DO NOT REDUCE/ INCREASE			DELIVERY INSTRUCTION		TRY TO STOP		ACCOUNT TYPE				
3B / 32	CXL		PRICE: FOR PRICE CHANGE ONLY			BUY		SL		SSHRT						
						BUY MINUS		SL PLUS		SSHRT EXEMPT						
3C / 74	QUANTITY		STOCK SYM		SUFFIX		PRICE:		CLO		OB		STP		LMT: _____	
							MKT		BAS		WOW					
3D / 32	ALL OR NONE		TIME-IN-FORCE		DO NOT REDUCE/ INCREASE			DELIVERY INSTRUCTION		TRY TO STOP		ACCOUNT TYPE				
3E / 32	LEAVES			TIME-IN-FORCE (SAME AS LINE 3A)												
3F / 32	CURRENTLY NOT USED															
4 / 32	MISCELLANEOUS INFORMATION															
4A / 32	REFERENCE DATA					MISCELLANEOUS INFORMATION										
4B / 74	GIVE UP DATA					CONFIRMATION DATA										
TRAILER LINE																
MEMBER FIRM'S CUSTOMER INFORMATION																

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FIG. 4, Fund Order Entry Form

NEXT SEGMENT	TRANSACTION TYPE	AUTOROUTE ID
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Fund/SERV		ORDER					
Datatrak SYSID: 01125 = Firm		record 1 of 5 (required)					
Field Name	Start	End	Len	Type	Description	Opt/ Req	Reject Code
Physical Sequence Number	1	2	2	A/N		R	004
Logical Sequence Number	3	4	2	A/N	01	R	004
Originator Type	5	5	1	A/N	B = Firm T = TPA	R	187
Filler	6	7	2	A/N	Space	R	
Firm Number	8	11	4	N		R	008
Firm Suffix	12	14	3	A/N	See Fund/SERV manual	O	154
Record Type	15	17	3	A/N	001 = Order	R	002
Test Indicator	18	18	1	A/N	0 = Production 1 = Test	R	122
Priority Indicator	19	19	1	A/N	0 = Normal 1 = High priority	O	151
Fund Number	20	23	4	N		O	100
Fund Suffix	24	26	3	A/N	See Fund/SERV manual	O	155
Security Issue Country Code	27	28	2	A/N	Space. For future use	R	
Security Issue ID	29	37	9	A/N		R	007
Security Issue Check Digit	38	38	1	A/N	Space. For future use	R	
Security Issue Type	39	40	2	A/N	24 = Money Market 25 = Load Fund 26 = No Load Fund	R	150
Control Number	41	55	15	A/N		R	005
Correction Indicator	56	56	1	A/N	Space	R	006
Transaction Type	57	57	1	A/N	0 = Single purchase 1 = Letter of intent 2 = Rights of accumulation 3 = Net asset value 4 = Group purchase	R	017

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FIG. 4, Fund Order Entry Form

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					5 = CDSC liquidation		
Transaction Code	58	59	2	A/N	01 = Initial purchase 02 = Subsequent purchase 03 = Partial liquidation 04 = Full liquidation Must be 03 or 04 if Transaction Type = 5	R	018
Submission Date (+)	60	67	8	N	mmddccyy	R	101
Trade Date (+)	68	75	8	N	mmddccyy	R	016
Book/Physical Share Indicator	76	76	1	A/N	0 = Book shares - firm name 1 = Book shares - customer name 2 = Physical shares 3 = Both book and physical shares Must be 0 or 1 for Money Market trades	R	015
PI Delivery Indicator	77	77	1	A/N	Required for all purchases if Book/Physical Share Ind = 2. 0 = Deliver to customer 1 = Deliver to firm 2 = Deliver to agent for firm	OC	039
Filler	78	78	1	A/N	Space	R	
Settlement Override Reason Code	79	80	2	A/N	Required if Anticipated Settlement Date is provided. 01 = Wrap fee account 02 = 401K 03 = Other	OC	179
NSCC Rejection Indicator	81	81	1	A/N	Input: Space Output: 0 = Accepted by NSCC 1 = Rejected by NSCC 2 = Rejected by NSCC, multiple errors	R	

FIG. 4, Fund Order Entry Form

NSCC Reject Code	82	84	3	A/N	Input : Space Output: Reject code	R	
TPA Number (I)	85	88	4	A/N	Required if Originator Type = T or Membership Identifier = 02	OC	188
Filler	89	100	12	A/N	Space	R	

	PREVIOUS SEGMENT	NEXT SEGMENT	TRANSACTION TYPE	AUTOROUTE ID
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Fund/SERV		ORDER					
Datatrak SYSID: 01125 = Firm		record 2 of 5 (required)					
Field Name	Start	End	Len	Type	Description	Opt/ Req	Reject Code
Physical Sequence Number	1	2	2	A/N		R	004
Logical Sequence Number	3	4	2	A/N	02	R	004
Filler	5	7	3	A/N	Space	R	
Share Quantity	8	21	14	N	9,999,999,999.9999 Optional if full liquidation; Not allowed if Dollar Amount > 0.	RC	019
Customer Account Number at Firm	22	41	20	A/N		R	020
Fund Account Indicator	42	42	1	A/N	0 = New account - domestic 1 = New account - foreign 2 = Existing account - domestic 3 = Existing account - foreign	R	010
Customer Account Number at Fund	43	62	20	A/N	Required for all non-networked liquidations (Network Control Ind = 0 and Trans Code = 03 or 04)	OC	011

FIG. 4, Fund Order Entry Form

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IRA/DCP Indicator	63	63	1	A/N	0 = Not applicable 1 = Current year payment 2 = Prior year payment 3 = IRA rollover 4 = Asset transfer 5 = Employee - prior year 6 = Employee - current year 7 = Employer - prior year 8 = Employer - current year 9 = Non-fund prototype IRA A = Non-fund qualified plan B = Defined contribution plan	R	013
Agent for Firm Number	64	67	4	A/N		O	
Network Control Indicator	68	68	1	A/N	0 = Non-networked 1 = Matrix level 1 2 = Matrix level 2 3 = Matrix level 3 4 = Matrix level 4	R	047
Fraction Indicator	69	69	1	A/N	0 = Round up 1 = Round down 2 = Issue fraction 3 = Not applicable	R	014
Gross Settlement Indicator	70	70	1	A/N	0 = Not applicable 1 = Settle net 2 = Settle gross	R	094
Participant Processing Time	71	76	6	N	hhmmss 000000 (midnight) to 235959	O	168
Membership Identifier	77	78	2	A/N	01 = Trust member 02 = Networking info required for TPA	O	181
Filler	79	100	22	A/N	Space	R	

PREVIOUS SEGMENT	NEXT SEGMENT	TRANSACTION TYPE	AUTOROUTE ID
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5

FIG. 4, Fund Order Entry Form

4 = CDSC waiver due to correction
 5 = Death
 6 = Disability
 7 = Mandatory distribution
 8 = Systematic withdrawal

NAV Reason Code	78	78	1	A/N	Required if Trans Type = 3. 0 = Other 1 = Net asset value transfer 2 = Repurchase 3 = Employee 4 = Error correction 5 = Wrap fee account 7 = Commissionable defined contribution plan 8 = Non-commissionable defined contribution plan	OC	104
State of Sale	79	80	2	A/N	Required for new purchases	OC	012
Filler	81	100	20	A/N	Space	R	

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